

**SMALL BUSINESS SUBCONTRACTING PLAN  
(Model Outline\*)**

**SUBCONTRACTING PLAN PERIOD:** \_\_\_\_\_

Individual plans should cover the entire period of performance, and commercial plans should coincide with the company's fiscal year. In the event your company's fiscal year is for a period that will end before the contract periods of any federal contracts you hold which include the requirement to have a small business subcontracting plan, **you will be required to submit a new subcontracting plan for approval thirty (30) days prior to expiration of the existing subcontracting plan.** In the event an acceptable plan cannot be negotiated prior to expiration of the existing subcontracting plan, your contract(s) may be terminated.

**DATE SUBMITTED:** \_\_\_\_\_

**NAME OF PLANHOLDER:** \_\_\_\_\_

**SUBSIDIARIES INCLUDED:** \_\_\_\_\_

**ADDRESS:** \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**ITEM/SERVICE:** \_\_\_\_\_

**1. TYPE OF PLAN**

List the total estimated dollar value of all planned subcontracting (to all types of business concerns, both **large and small**). Select only one of the following:

- a) **Individual Plan** (This Contract Only) Contract #/Solicitation # \_\_\_\_\_  
Total value of projected subcontracts (both **large and small** businesses) \$ \_\_\_\_\_
- b) **Commercial Division-wide Plan**  
Total projected sales \$ \_\_\_\_\_  
Total value of projected subcontracts (both **large and small** businesses) \$ \_\_\_\_\_  
(Subcontracts Represent \_\_\_\_\_% of Total Annual Sales)
- c) **Commercial Company-wide Plan**  
Total projected sales \$ \_\_\_\_\_  
Total value of projected subcontracts (both **large and small** businesses) \$ \_\_\_\_\_  
(Subcontracts Represent \_\_\_\_\_% of Total Annual Sales)

*\* Federal Acquisition Regulation (FAR), paragraph 19.708(b)(1), prescribes the use of the clause at FAR 52.219-9 entitled "Small Business Subcontracting Plan." The following is a suggested model for use when formulating such subcontracting plan. While this model plan has been designed to be consistent with FAR 52.219-9, other formats of a subcontracting plan may be acceptable. However, failure to include the essential information as exemplified in this model may be cause for either a delay in acceptance or the rejection of an offer where the clause is applicable. Further, the use of this model is not intended to waive other requirements that may be applicable under FAR 52.219-9 or that may appear in the Government's solicitation. "SUBCONTRACT," as used in this clause, means any agreement (other than one involving an employer-employee relationship) entered into by a federal government prime contractor or subcontractor calling for supplies or services required for performance of the contract or subcontract.*

## **2. GOALS**

State separate dollar and percentage goals, expressed in terms of **percentages of the total available subcontracting dollars** listed in the previous section.

- a) Total estimated dollar value and percent of planned subcontracting with **small businesses (SB)** (including ANCs and Indian tribes), veteran-owned small, service-disabled veteran-owned small, HUBZone small, small disadvantaged (including ANCs and Indian tribes), and women-owned small business concerns:  
\$ \_\_\_\_\_ and \_\_\_\_\_%
- b) Total estimated dollar value and percent of planned subcontracting with **veteran-owned small businesses (VO)**:  
\$ \_\_\_\_\_ and \_\_\_\_\_%
- c) Total estimated dollar value and percent of planned subcontracting with **service-disabled veteran-owned small businesses (SDVO)** (Note: This is a subset of veteran-owned):  
\$ \_\_\_\_\_ and \_\_\_\_\_%
- d) Total estimated dollar value and percent of planned subcontracting with **small disadvantaged businesses (SDB)** (including ANCs and Indian tribes):  
\$ \_\_\_\_\_ and \_\_\_\_\_%
- e) Total estimated dollar value and percent of planned subcontracting with **women-owned small businesses (WO)**:  
\$ \_\_\_\_\_ and \_\_\_\_\_%
- f) Total estimated dollar value and percent of planned subcontracting **with HUBZone small businesses (HUB)**:  
\$ \_\_\_\_\_ and \_\_\_\_\_%

## **3. PRODUCTS AND/OR SERVICES**

The types of products and/or services to be subcontracted are:

**LB:** \_\_\_\_\_

**SB:** \_\_\_\_\_

**VO:** \_\_\_\_\_

**SDVO:** \_\_\_\_\_

**SDB:** \_\_\_\_\_

**WO:** \_\_\_\_\_

**HUB:** \_\_\_\_\_

#### **4. GOAL DEVELOPMENT**

The following method was used in developing the subcontracting goals:

\_\_\_\_\_

#### **5. IDENTIFYING POTENTIAL SOURCES**

The following methods were used to identify potential sources for solicitation purposes (See FAR 52.219-9(d)(5) for examples of methods that may be used.):

\_\_\_\_\_

#### **6. INDIRECT COSTS**

Indirect costs ☐ have ☐ have not been included in the dollar and percentage subcontracting goals stated above. (Check one.)

If "have been" is checked (and you are proposing an individual plan), explain the method used in determining the proportionate share of indirect costs to be incurred with small business (including Alaska Native Corporations and Indian tribes), veteran-owned small business, service-disabled veteran-owned small business, small disadvantaged business (including ANCs and Indian tribes), women-owned small business, and HUBZone small business concerns. *Note: Commercial planholders who choose to include indirect costs will not need to provide the aforementioned explanation because the costs will be applied at 100%.*

\_\_\_\_\_

#### **7. PROGRAM ADMINISTRATOR**

The following individual will administer the subcontracting program:

NAME: \_\_\_\_\_

TITLE: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

TELEPHONE: \_\_\_\_\_

E-MAIL: \_\_\_\_\_

This individual's specific duties, as they relate to the firm's subcontracting program, are as follows:

\_\_\_\_\_

## **8. EQUITABLE OPPORTUNITY**

The following good faith efforts (internal and external) will be taken to assure that small business, veteran-owned small business, service-disabled veteran-owned small business, small disadvantaged business, women-owned small business, and HUBZone small business concerns will have an equitable opportunity to compete for subcontracts:

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## **9. FLOW-DOWN CLAUSE**

The offeror agrees that the FAR clause of this contract entitled "Utilization of Small Business Concerns" (52.219-8) will be included in all subcontracts which offer further subcontracting opportunities, and all subcontractors (except small business concerns) that receive subcontracts in excess of \$650,000 with further subcontracting possibilities will be required to adopt a subcontracting plan that complies with the requirements of this clause.

**NOTE:** See exceptions listed in FAR 52.219-9(j).

## **10. REPORTING & COOPERATION**

The offeror agrees to

- (i) Cooperate in any studies or surveys as may be required;
- (ii) Submit periodic reports so that the Government can determine the extent of compliance by the offeror with the subcontracting plan;
- (iii) Submit the Individual Subcontracting Report (ISR) and/or the Summary Subcontract Report (SSR), in accordance with the paragraph (l) of this clause using the Electronic Subcontracting Reporting System (eSRS) at <http://www.esrs.gov>. The reports shall provide information on subcontract awards to small business concerns (including ANCs and Indian tribes that are not small businesses), veteran-owned small business concerns, service-disabled veteran-owned small business concerns, HUBZone small business concerns, small disadvantaged business concerns (including ANCs and Indian tribes that have not been certified by the Small Business Administration as small disadvantaged businesses), women-owned small business concerns, and Historically Black Colleges and Universities and Minority Institutions. Reporting shall be in accordance with this clause, or as provided in agency regulations;
- (iv) Ensure that its subcontractors with subcontracting plans agree to submit the ISR and/or the SSR using eSRS;
- (v) Provide its prime contract number, its DUNS number, and the e-mail address of the offeror's official responsible for acknowledging receipt of or rejecting the ISRs, to all first-tier subcontractors with subcontracting plans so they can enter this information into the eSRS when submitting their ISRs; and
- (vi) Require that each subcontractor with a subcontracting plan provide the prime contract number, its own DUNS number, and the e-mail address of the subcontractor's official responsible for acknowledging receipt of or rejecting the ISRs, to its subcontractors with subcontracting plans.

## **11. RECORDKEEPING**

The following is a description of the types of records that will be maintained concerning procedures that have been adopted to comply with the requirements and goals in the plan, including establishing source lists; and a description of the offeror's efforts to locate small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns and award subcontracts to them. The records shall include at least the following (on a plant-wide or company-wide basis, unless otherwise indicated):

- (i) Source lists (*e.g.*, SAM), guides, and other data that identify small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns.
- (ii) Organizations contacted in an attempt to locate sources that are small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, or women-owned small business concerns.
- (iii) Records on each subcontract solicitation resulting in an award of more than \$150,000, indicating --
  - (A) Whether small business concerns were solicited and if not, why not;
  - (B) Whether veteran-owned small business concerns were solicited and, if not, why not;
  - (C) Whether service-disabled veteran-owned small business concerns were solicited and, if not, why not;
  - (D) Whether HUBZone small business concerns were solicited and, if not, why not;
  - (E) Whether small disadvantaged business concerns were solicited and if not, why not;
  - (F) Whether women-owned small business concerns were solicited and if not, why not; and
  - (G) If applicable, the reason award was not made to a small business concern.
- (iv) Records of any outreach efforts to contact --
  - (A) Trade associations;
  - (B) Business development organizations;
  - (C) Conferences and trade fairs to locate small, HUBZone small, small disadvantaged, and women-owned small business sources; and
  - (D) Veterans service organizations.
- (v) Records of internal guidance and encouragement provided to buyers through --
  - (A) Workshops, seminars, training, etc., and
  - (B) Monitoring performance to evaluate compliance with the program's requirements.
- (vi) On a contract-by-contract basis, records to support award data submitted by the offeror to the Government, including the name, address, and business size of each subcontractor. Contractors having commercial plans need not comply with this requirement.

**Signed:** \_\_\_\_\_

**Typed Name:** \_\_\_\_\_

**Title:** \_\_\_\_\_

**Date Signed:** \_\_\_\_\_

**Plan Approved by (Government official):** \_\_\_\_\_

**Typed Name:** \_\_\_\_\_  
**Contracting Officer**

**Date Approved:** \_\_\_\_\_

	Prior Year Goals	Prior Year Achievements*	Current Goals
<b>Total Subcontracting Dollars +</b>	\$ _____	\$ _____	\$ _____
<b>Small Business Dollars</b>	\$ _____	\$ _____	\$ _____
<b>Small Business Percent</b>	_____%	_____%	_____%
<b>Small Veteran-owned Dollars</b>	\$ _____	\$ _____	\$ _____
<b>Small Veteran-owned Percent</b>	_____%	_____%	_____%
<b>Service-Disabled Veteran-Owned Dollars</b>	\$ _____	\$ _____	\$ _____
<b>Service-Disabled Veteran-Owned Percent</b>	_____%	_____%	_____%
<b>Small Disadvantaged Dollars</b>	\$ _____	\$ _____	\$ _____
<b>Small Disadvantaged Percent</b>	_____%	_____%	_____%
<b>Small Women-owned Dollars</b>	\$ _____	\$ _____	\$ _____
<b>Small Women-owned Percent</b>	_____%	_____%	_____%
<b>HUBZone Small Business Dollars</b>	\$ _____	\$ _____	\$ _____
<b>HUBZone Small Business Percent</b>	_____%	_____%	_____%

**Round percentages to two decimal places and dollar figures to the nearest whole dollar.**

\* If total prior year contract achievements are not available, use actual figures and estimate/prorate balance.

+ Including subcontracting dollars for small **and** large businesses